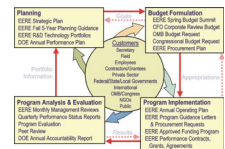
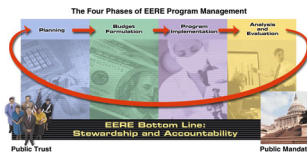




# GLOSSARY OF TERMS/INDEX



*Note: This glossary/index combines terms used in this Guide and corresponding reference page numbers. Some of the terms listed are not defined, but provide only a page number where one might find the related text. Also, this document provides reference page numbers that contain substantive information on the terms; it does not list every occurrence of the terms.*

## Acquisition Plan

A plan that identifies what is to be acquired and how, including the source, contract method and contract type. 2-26, 2-28, 6-2, 6-21, C3-9, C-4-1, CE-1

## Agency Comments

Comments requested by Congressional committees from agencies on proposed legislation, including appropriation bills.

## Allotment

An authorization by either the agency head, or another authorized employee, to subordinate agency employees to incur obligations within a specified amount pursuant to an OMB apportionment or reappportionment action, in accordance with OMB Circular No. A-34, or other statutory authority making funds available for obligation. The allotment is the means by which the Department assigns responsibility under the administrative control of funds provision of Title 31, U.S.C., Section 1514. 6-6, 6-7, 6-13

## Allowance

The number of FTEs that the Department is permitted to use during a specified fiscal year. B-14

## Amendments

Process of revising budget estimates after budget has been submitted to OMB.

## Annual Operating Plan

An organizational one-year plan that identifies what is to be accomplished, when, and using what resources during the planned execution year (also Operations Plan, Program Execution Plan). 2-26, 2-31, 4-1, 6-1, 6-25, 6-33, Appendix A-3

## Annual Performance Plan

The planned results (outputs and outcomes) to be achieved during the fiscal year for the authorized and appropriated funds (inputs). The department is required to submit the plan to the President. 4-31, 4-45

Apportionment	A distribution made by OMB of the amount available for obligation in an appropriation or fund account. The distribution makes amounts available for time periods, programs, activities, projects, objects, or combinations thereof. The amounts apportioned limit the obligations that may be incurred.
Appropriation	A law that gives DOE the authority to obligate a specified level of funds from the U.S. Treasury. 4-9, 6-6, 7-2, B-5
Appropriation Bill	Proposed legislation that when enacted will give legal authority to spend or obligate money from the Treasury. B-5, B-18
Approved Funding Program	A Department level schedule for providing funds in specific amounts and at specific times to programs and field activities for specific programs. 6-2, 6-6, 6-7
Authorization Bill	Proposed legislation that will establish or continue the legal operation of a federal program or agency. B-5, B-18
Base Table	A base table is established annually upon passage of the appropriation legislation. Prior to the fiscal year, the base table is developed in accordance with the information contained in conference reports or appropriation legislation. It displays budgetary resources available for obligation by the Department at a level of detail consistent with Congressional requirements (e.g., conference reports). All funds distributed throughout DOE by the allotment and AFP processes are limited by the amounts in the base table. The base table is submitted quarterly to Congressional Committees.
Budget Analysis Review and Reporting System (BARRS)	An automated database storage and retrieval system specifically designed to assist the management and development of the DOE Annual Budget. B-11
Budget Authority	The authority to enter into obligations that will result in immediate or future outlays involving federal funds. 2-23
Budget Call	Guidance issued by the Chief Financial Officer regarding the contents, timing, format and instructions for formulating budgets. 5-1, 5-2, 5-9
Budget Formulation	Second stage of the program management cycle includes budgeting, estimating funding requirements, and defending the budget. 5-1, 5-3, 5-5

Budget Resolution	The Congressional starting point, which considers the federal budget on a very large scale by setting ceilings on all federal appropriations, entitlement programs and revenue bills.
Capability Statements	Reflect DOE's position on Congressional amendments proposing DOE program and funding increases. <i>B-23, B-25, B-28</i>
Color of Money	The "color of money" illustrates another Congressional appropriations restriction on the use of funds in DOE. The color of money refers to three types of funds: operating, capital equipment and construction. <b>Operating funds</b> , which account for roughly 70% of DOE's budget, are used for staffing, overhead, travel, transportation, rent, utilities, printing, and M&O contractor support for science and production activities. <b>Construction funds</b> , which represent between 20-25% of DOE's budget, are specified line item construction projects. The balance (5-10%) is used for <b>acquisition of equipment</b> , such as cars, construction machinery, computers, laboratory equipment and similar equipment. These funds may be used for the intended purpose only and may not be switched to or used for acquisition of government services or goods without the appropriate reprogramming, restructuring, or transfer approval.
Committed	Funds that are earmarked for a specific purpose but have not been obligated.
Committee Hearings	Hearings held for agency officials and public witnesses to provide testimony regarding pending legislation. <i>B-6</i>
Committee Referral	After introduction, a bill is referred to a committee and usually re-referred to a subcommittee(s).
Committee Report	A report containing the amended legislation and an explanation of its provisions.
Conference Committee	A committee appointed to resolve differences between the House and the Senate regarding a proposed legislation. <i>B-6</i>
Conference Report	A report of separate bills that have been reconciled by a joint (House and Senate) committee. The conference report is submitted for separate approval by both the House and the Senate.
Congressional Budget Process	The process that shapes the overall budget and authorizes and appropriates funding for federal programs and activities. <i>B-4, B-33</i>

Congressional Committees	1-71, B-33
Continuing Resolution	Legislation to provide budget authority for specific ongoing activities and for a specified time for which the regular fiscal year appropriation has not been enacted by the beginning of the fiscal year. B-4, B-6
Contract Administration	The process of managing the government's business and technical interests during the execution of the contract.
Contract Closeout	The process through which the remaining administrative details are wrapped up after a contract is executed or terminated. C6-6
Contracting Officer (CO)	The CO has the primary authority for entering into, administering, and/or terminating contracts and financial assistance. C2-3
Cooperative Research and Development Agreements (CRADAs)	An agreement between the Government and private parties to collaborate on specific R&D activities, each providing funding or other resources in accordance with an agreed-upon ratio. 4-84, C3-26
Corporate Review Budget	The process that converts the Department's planning and programming decisions into the budget for Departmental-level review. 5-17, B-1, B-7
Costed	The recognition of the actual or constructive receipt of goods or services requiring government payment based on an accrual concept.
Crosscut Plan	Plans used to coordinate and integrate activities where the goal and or objectives cross more than one function or organizational entity.
Decision Unit	The basic reporting unit within the budget structure. As part of both an appropriation category and a budget organization, a decision unit is a non-organizational entity by which DOE plans, budgets and monitors dollars and staffing requirements.
Deferral	A deferral temporarily withholds, delays, or effectively precludes the obligation or expenditure of budget authority. Program funding levels may be affected by rescissions and deferrals. Secretarial officers may submit proposed rescissions and deferrals to the Controller who works with OMB for submission to Congress.

Distinctions Between EERE Programs and Projects	2-3
DOE Budget Process	B-1
EERE Corporate Planning System	8-1
EERE Data Center	An EERE program management information tool comprised of a linked set of spreadsheets populated with program management information. 8-1
EERE Programs and Subprograms	2-5
Financial Information System/Management Analysis Reporting System (FIS/MARS)	System includes funding, obligation, costs, and uncosted data for each EERE contract or financial assistance instrument by office, national laboratory, awardee, CID, program, subprogram, category, and appropriation symbol. 8-5
Field Contracts	Contracts in support of program tasks and activities that are initiated and managed by DOE field activities.
Floor Action	The legislation is returned to the congressional floor and opened for amendments and passage by a majority in both houses.
FTE Allocation Process	The process whereby staffing resources are officially distributed.
FTE Budgeting	The process of identifying, justifying, and defending the federal staffing resources required to achieve DOE program objectives as specified in the current budget and as approved by the Secretary.
Full Time Equivalent (FTE)	The basic unit in which all manpower estimates is stated. An FTE is equal to 2,087 compensated work hours, or approximately the number of hours a Federal employee would be paid if he/she worked full time for an entire year. B-12
Golden Field Office (GFO)	The GFO is a full-service business organization and EERE's primary field implementation center. 1-29, 1-30
Grant	An agreement through which funds are provided for assistance to provide the means for a recipient to accomplish a public benefit with little oversight or other Government involvement. 6-3, C3-27

Impact Statements	Requested to define “What If” scenarios, such as what impact would result from a program budget being reduced or eliminated. <i>B-23, B-26, B-30</i>
Interagency Agreements	A written agreement entered into between a DOE office and the appropriate official of another Federal agency that requires specific goods to be furnished or tasks to be accomplished by one agency in support of the other. <i>2-28, C4-15</i>
Introduction of Bills	A bill is introduced in the Senate, House of Representatives or both bodies. Legislation may also be introduced at the request of the President on behalf of an agency.
Key Activity Summary	Contains the primary information necessary to defend EERE’s budget request, including program descriptions, overall objectives, and long-term strategic goals. <i>2-28, B-8</i>
Key Mission Elements	A plan that identifies the program’s quantitative technical goals, objectives, strategies, milestones, and resources required each year for the next five years.
Multi-Year Program Plan	A plan that identifies the program’s quantitative technical goals, objectives, strategies, milestones, and resources required each year for the next five years. <i>2-22, 2-25, 4-9, Appendix A-2</i>
National Energy Policy (NEP)	Framework for goals, objectives, and recommended actions for the nation’s energy policy. <i>1-13, 4-4</i>
National Renewable Energy Laboratory (NREL)	<i>1-32, 1-34, 1-35</i>
Obligated	Funds that have been set aside to cover a Government obligation for payment, typically when a contract is entered into which the Government must pay upon performance by the Contractor. <i>2-28, 6-7, 6-29</i>
Obligation	A binding agreement that will result in outlays, immediately or in the future. Budgetary resources must be available before obligations can be incurred legally. <i>6-6</i>
Obligation Authority	The sum of budget authority, unobligated balances, offsetting collections, and funds transfers.
Office of Biomass Program	Develops and improves technology for biomass power; for making biofuels such as ethanol (from biomass residues as well as grain) and renewable diesel; and for making plastics and chemicals from renewable, biobased materials. <i>1-22</i>

Office of Building Technologies Program	Develops, promotes, and integrates energy technologies and practices to make buildings more efficient and affordable, and communities more livable. 1-22
Office of Business Administration (BA)	A management improvement team to examine the EERE program in five areas ranging from budgeting to performance measurement to procurement. 1-27
Office of Distributed Energy	Works with industry stakeholders to streamline the integration of distributed-energy systems with the electricity grid. 1-23
Office of Federal Energy Management Programs (FEMP)	Assists Federal agencies in reducing their costs by helping them identify, finance, and implement energy-efficient technologies, renewable energy projects, and water conservation projects in their facilities and operations, and provides utility management strategies. 1-23
Office of Field Management and Operations (FMO)	Organization that provides expert advice, guidelines, and examples to assist with the acquisition process. C1-1
Office of FreedomCAR & Vehicle Technologies Program	Develops, and promotes user acceptance of transportation technologies that can decrease oil imports and reduce emissions of pollutants, including greenhouse gases. 1-24
Office of Geothermal Technologies Program	Works in partnership with U.S. industry to establish geothermal energy as an economically competitive contributor to the U.S. energy supply.
Office of Hydrogen, Fuel Cells & Infrastructure Technologies Program	Works with partners to accelerate the development and successful market introduction of these technologies.
Office of Industrial Technologies Program	Creates partnerships to research, develop, and deliver advanced energy and pollution prevention technologies for industrial customers. 1-24
Office of Management and Budget (OMB)	The OMB has a central role in the formulation and execution of the President's budget. B-13
Office of Solar Technologies Program	Accelerates the development of solar technologies as energy sources for the nation and world, and educates the public about the value of solar as a secure, reliable, and clean energy choice. 1-26
Office of Weatherization and Intergovernmental Program	Provides consumers and decision makers with information on cost, performance, and financing energy-efficiency and renewable-energy projects. 1-26



Office of Wind and Hydropower Technologies Program	Works with industry to develop the advanced technology needed to convert more of the nation's wind into electricity and pursues R&D to develop more environmentally friendly technologies to maintain the nation's existing hydropower capacity. 1-27
Offsetting Collections	Collections that, by law, are credited directly to expenditure accounts and deducted from gross budget authority and outlays of the expenditure account, rather than added to receipts. Usually, they are authorized to be spent for the purposes of the account without further action by Congress. They result from business-type or market-oriented activities with the public and other Government accounts. The authority to spend offsetting collections is a form of budget authority.
OMB Budget Review	The DOE budget is reviewed by the Office of Management and Budget (OMB) prior to submitting it for presidential approval and submission to Congress. B-3, B-14
OMB Target	Initial guidance provided by the Office of Management and Budget outlining overall staffing and funding ceilings that the Department should consider as it prepares the Budget.
Outlays	The actual disbursement of funds.
Performance-Based Management	A management philosophy that identifies measurable results or outcomes and pursues them at each level of the organization. 4-17, 5-1
Performance-Based Acquisition	An acquisition approach that specifies "what" is required in terms of objectives, measures, and expectations and leaves the specific methods of performance, the "how", to be decided by the contractor.
Planning	First stage of the program management cycle; includes strategic plans, multi-year plans, and annual operating plans. 4-1, 4-7, 4-9 to 4-13
President's Budget	Also called the Congressional Budget submission, it reflects official DOE policy on all matters relating to the Administration's budget requests for funding DOE programs.
Procurement and Assistance Data Systems (PADS)	PADS is the official Department system for tracking the status, value and other characteristics of almost all direct contracts, cooperative agreements, grants, and other vehicles. 8-6, Appendix E-1



Procurement Integrity	The responsibility of Federal program and contracting officials to refrain from activities that create conflicts of interest or the appearance thereof, or uses the procurement process for personal enrichment. C2-7
Program Analysis and Evaluation	Fourth stage of the program management cycle; includes monitoring program work performance and program evaluation. 7-1, 7-7
Program Guidance Letters	6-2, 6-15
Program Management Cycle	2-19
Program Management Initiative (PMI)	Initiative to improve the program management system, which includes the Strategic Management System, Performance-Based Management standards, and training. i-II
Program Manager and Project Manager Responsibilities	2-16
Regional Offices	EERE's six Regional Offices implement State and local grant programs and serve as EERE's principal technology deployment force in the field. The six Regional Offices are located in Boston, MA; Philadelphia, PA; Atlanta, GA; Chicago, IL; Denver, CO; and Seattle, WA. 1-30
Reprogramming	Reprogramming is the shifting of funds within an appropriation (that is, within a DOE program), within the same fiscal year, between budget activities, line items, etc.
Rescission	A rescission cancels existing budget authority before the time when the authority would otherwise cease to be available for obligation. The President requests the rescission. The rescission occurs only if Congress enacts it.
Roles and Responsibilities of HQ and Field Activities	2-15
Spend Plan	The Spend Plan indicates how much appropriated funding will be placed with each performing activity, including labs and procurement, and financial assistance awardees, and shows a costing or accrual rate consistent with the actions necessary to accomplish the work. 6-1

Project Plan	A detailed plan to ensure the objectives of a specific project are achieved. A project plan defines the methods applied, resources used, and timelines for the project.
Staffing Budget Call	A memorandum that provides guidance to Secretarial Officers and other top departmental officials on staffing levels, assumptions, scenarios, alternatives and formatting requirements.
Strategic Management System	An organizational management framework that integrates planning, budget formulation, program implementation, and analysis and evaluation. 2-31
Strategic Plan	A plan that identifies the organization's vision, mission, values, and broad goals, looking forward at least five years into the future. 4-1, 4-13
Technology Deployment	The process of promoting and ensuring the application of technologies developed and advanced by DOE programs.
Technology Transfer	The process of applying technologies developed in the private sector by the Government, and vice-versa.
Unobligated Balances	The cumulative amount of budget authority that is not obligated and that remains available for obligation under law.
Work Authorization System (WAS)	The method by which work is assigned to and accomplished by the National Laboratories. 6-2